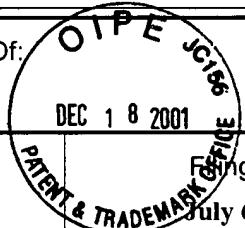


TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
09163-20801

In Re Application Of:
Kinney et al.



Serial No.
09/901,553

Filing Date
July 6, 2001

Examiner
To Be Assigned

Group Art Unit
2164

Title:

METHOD AND SYSTEM FOR CREDIT AUTHORIZATION IN MEMBER EXCHANGE

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

- The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

- The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

a certification as specified in 37 CFR 1.97(e);

OR

the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

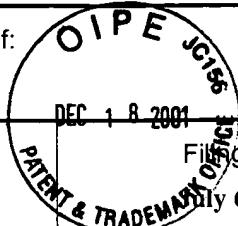
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Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- A check in the amount of _____ is attached.
- The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
 - Charge the amount of _____
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Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____) on _____ (Date)

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Michella McKenzie

Typed or Printed Name of Person Mailing Correspondence

*This certificate may only be used if paying by deposit account.

Signature

39,227

Dated:

Nov 21, 2001

CC:



Sheet 1 of 1

2164
#5

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO.: 09163-20801	SERIAL NO.: 09/901,553
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)		APPLICANT: Kinney et al.	
		FILING DATE: July 6, 2001	GROUP ART UNIT: 2164

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U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,058,378	05/02/00	Clark et al.			Jun. 07, 1995
	6,029,146	02/22/00	Hawkins et al.			Aug. 21, 1996
	6,018,721	01/25/00	Aziz et al.			May 19, 1997
	6,014,627	01/11/00	Togher et al.			Jun. 18, 1996
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	5,717,989	02/10/98	Tozzoli et al.			Oct 13, 1994
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	5,649,116	07/15/97	McCoy et al.			Mar. 30, 1995
	5,375,055	12/20/94	Togher et al.			Feb. 3, 1992

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

		Boom.com Reveals U.S. Trading & New Look Website – www.internetnews.com, pp. 1-2.
		North American Institutional Brokers-Professional Order Execution Website – www.naib.com: "About Us", pp. 1-2; "Total Trading Support", pp. 1-2.

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.